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**U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT  
REGIONAL CONTRACTS OFFICE  
INDIA AND SRI LANKA  
9000 NEW DELHI PLACE  
WASHINGTON, DC 20521-9000**

**Support to the BEE Action Plan under ECO Project**

**Issuance Date: 03/07/2003**

**Closing Date: 04/21/2003**

**Closing Time: 1600 Hrs. New Delhi Time**

Subject: Request for Applications (RFA) Number 386-03-010 "Support to the BEE Action Plan under ECO Project".

The United States Agency for International Development (USAID) is seeking applications for an Assistance Agreement for funding a program for "Support to the Bureau of Energy Efficiency (BEE) Action Plan" under USAID/India's Energy Conservation and Commercialization (ECO) Project. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

The Recipient will be responsible for ensuring achievement of the program objective. Please refer to the Program Description for a complete statement of goals and expected results.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under Assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the grant.

Subject to the availability of funds, USAID intends to provide approximately \$1,800,000 in total USAID funding to be allocated over a 16 month period, with an estimated start date o/a June 2003. USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

1. Section A - Grant Application Format;
2. Section B - Selection Criteria;
3. Section C – Program Description;
4. Section D - Certifications, Assurances, and Other Statements of Applicant/Grantee;

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

If you decide to submit an application, it should be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. Applications and modifications thereof shall be submitted in envelopes with the name and address of the applicant and RFA # (referenced above) inscribed thereon, to:

(By U.S. Mail)

Regional Contracting Officer  
USAID/New Delhi  
Department of State  
9000 New Delhi Place  
Washington, DC 20521-9000

(By All Other Means of Delivery)

Regional Contracting Officer  
USAID/New Delhi  
West Building, Gate No.6  
Shantipath, Chanakyapuri,  
New Delhi – 110021, India

Applicants are requested to submit both technical and cost portions of their applications in separate volumes. Award will be made to that responsible applicant(s) whose application(s) offers the greatest value.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant grant(s) cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

The preferred method of distribution of USAID procurement information is via the Internet. This RFA and any future amendments can be downloaded from the Agency Web Site. The World Wide Web Address is <http://www.usaid.gov>. Select Business and Procurement from the home page, then "USAID Procurements". On the following screen, select "Download Available USAID Solicitations". Receipt of this RFA through INTERNET must be confirmed by written notification to the contact person noted below. It is the responsibility of the recipient of the application document to ensure that it has been received from INTERNET in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (a) Selection Criteria;
- (b) Grant Application Format;
- (c) Program Description;
- (d) This Cover Letter.

Any questions concerning this RFA should be submitted in writing to P. Sashidharan Menon, via facsimile at 91-11-2419-8390 (Direct) or 8454 or 8612 or via internet at [indiarfp@usaid.gov](mailto:indiarfp@usaid.gov). If there are problems in downloading the RFA off the INTERNET, please contact the USAID INTERNET Coordinator on (202) 712-4442. Applicants should retain for their records one copy of all enclosures which accompany their application.

Sincerely,

Jerry Kryschtal

Regional Agreement Officer  
Regional Contracting Office  
USAID/New Delhi, India

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## **SECTION A - GRANT APPLICATION FORMAT**

### **PREPARATION GUIDELINES**

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section B addresses the technical evaluation procedures for the applications. Applications which are submitted late or are incomplete run the risk of not being considered in the review process. "Late applications will not be considered for award" or "Late applications will be considered for award if the Agreement Officer determines it is in the Government's interest."

Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. Technical portions of applications should be submitted in an original and three copies and cost portions of applications in an original and one copy.

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated on page 3 of the cover letter accompanying this RFA.

Technical applications should be specific, complete and presented concisely. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The applications should take into account the technical evaluation criteria found in Section B.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

### **COST APPLICATION FORMAT**

The Cost or Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for an Grant Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that applicants for Assistance award must submit to USAID prior to award. Technical proposal is limited to 20 pages, over 20 pages will not be evaluated, and shall be written in English and typed on standard 8-1/2" x 11" paper, single spaced, 12 characters per inch with each page numbered consecutively. Items such as graphs, charts, cover pages, dividers, table of contents and attachments (i.e. key personnel resumes, reply to case studies, table summarizing qualifications of proposed personnel, past performance summary table and past performance report forms) are not included in the 20 page limitation. Applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

A. A copy of the program description that was detailed in the applicants program description, on a 3-1/2" diskette, formatted in Word97.

B. Include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. The budget must be submitted using Standard Form 424 and 424A which can be downloaded from the USAID web site, [http://www.usaid.gov/procurement\\_bus\\_opp/procurement/forms/sf424/](http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf424/);

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;

- the breakdown of all costs according to each partner organization involved in the program;
  - the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
  - the breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement;
  - potential contributions of non-USAID or private commercial donors to this Cooperative Agreement;
  - your procurement plan for commodities (note that contraceptives and other health commodities will not be provided under this Cooperative Agreement).
- C. A current Negotiated Indirect Cost Rate Agreement;
- D. Required certifications and representations (as attached):
- E. Cost share has been recommended to be 25 % of the total estimated amount. If the applicant proposes a cost share of less than 15%, it will be deemed as not responsive, and will be removed from further consideration.
- F. Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:
1. copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
  2. projected budget, cash flow and organizational chart;
  3. A copy of the organization's accounting manual.
- G. Applicants should submit any additional evidence of responsibility deemed necessary for the Grant Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:
1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
  2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
  3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
  4. Has a satisfactory record of integrity and business ethics; and
  5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).
- H. Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

**386-03-010**

- I. Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.
- J. Acknowledgement of Amendments to the RFA - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.
- K. Receipt of Applications - Applications must be received at the place designated and by the date and time specified in the cover letter of this RFA.
- L. Submission of Applications:
1. Applications and modifications thereof shall be submitted in sealed envelopes or packages (1) addressed to the office specified in the Cover Letter of this RFA, and (2) showing the time specified for receipt, the RFA number, and the name and address of the applicant.
  2. Faxed applications will not be considered; however, applications may be modified by written or faxed notice, if that notice is received by the time specified for receipt of applications.
- M. Preparation of Applications:
1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.
  2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
  3. Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:
    - (a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets ; and
    - (b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."
- N. Explanation to Prospective Applicants - Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing within three weeks before the closing date of the application to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Grant will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.



O. Grant Award:

1. The Government may award one or more Grants resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA offers the greatest value. The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.
  2. The Government may award one or more Grant(s) on the basis of initial applications received, without discussions. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint.
  3. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting Grant(s).
- P. Authority to Obligate the Government - The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Grant may be incurred before receipt of either a fully executed Grant or a specific, written authorization from the Agreement Officer.
- Q. The Contractor/Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the contractor/recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.
- R. Foreign Government Delegations to International Conferences - Funds in this [contract, agreement, amendment] may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences [<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>] or as approved by the [CO/AO/CTO].

## **SECTION B - SELECTION CRITERIA**

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general reasonableness, allowability, and allocability. To the extent that they are necessary (if award is made based on initial applications), negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors considered.

Awards will be made based on the ranking of proposals according to the technical selection criteria identified below.

The technical proposal will be evaluated in accordance with the Technical Evaluation Criteria set forth below. The relative importance of each criterion is indicated by the number of points assigned; a total of 100 points is assigned for technical evaluation.

### **I. ILLUSTRATIVE PROGRAM APPROACH [20 points]**

1. Demonstrated understanding of the appropriate, cost-effective energy efficiency interventions/approaches most likely to have a significant impact on the three activity areas listed in the program description.
2. Merit of the draft work plan in terms of its ability to achieve the desired results as stipulated in the program description.
3. Relevance of the Applicant's description of its suggested development approach to the BEE's Action Plan vis-a-vis the current status and needs of the Indian energy efficiency markets.
4. Clarity and depth of understanding of the problems, obstacles and risks associated with engaging the Indian energy efficiency sector.
5. Understanding and clarity of linkages with, and lessons learnt from, other relevant programs including those supported by USAID and other donors.

### **II. COLLABORATION AND TEAM WORK [40 points]**

1. Technical strengths, and appropriateness in the Indian context, of the proposed partnerships between international and local organizations, institutions, and firms that would collaborate to address activities 1, 2 and 3 listed in the program description.
2. Merit of the proposed approach for working with, and bringing together, the Indian public and private sectors, including the direct beneficiaries of this RFA.
3. Merit of the proposed approach for effective coordination with relevant ongoing programs in this sector, including those supported by USAID and other donors.

**III. INSTITUTIONAL CAPABILITIES OF THE APPLICANTS [20 points]**

1. Demonstrated knowledge, capability and long-term experience of the Applicant in providing energy efficient building codes and utility demand side management development in India or in countries with similar conditions to those of India.
2. Demonstrated effectiveness and timeliness of the Applicant(s) past practice in meeting deadlines for deliverables.
3. Strength of the illustrative work plan to ensure a smooth and effective launch of program implementation.

**IV. STAFFING [20 points]**

1. Merit and mix of critical professional staff for program implementation in terms of:
  - A. Demonstrated experience and competency in the implementation of energy efficiency/DSM strengthening programs; energy efficiency building codes; and market, policy, business and commercial aspects for both;
  - B. High level experience in technical fields appropriate to activities 1, 2, and 3;
  - C. Experience in coordinating diverse activities that produced documented results;
  - D. Demonstrated experience in the use of varied and innovative modalities (e.g., technical assistance, technology transfer, training, information dissemination) to transfer concepts and skills;
  - E. Experience in working with or knowledge of USAID-supported cooperating agencies, donors, USAID missions, and international counterpart organizations; and,
  - F. Relevant experience working in developing countries, particularly India.
2. Appropriate number and skills mix of the staff proposed for implementation and on-going program monitoring.

## SECTION C - PROGRAM DESCRIPTION

**Program Title:** Energy Conservation and Commercialization II (ECO-II): Support to the Bureau of Energy Efficiency (BEE) Action Plan

**Purpose:** The purpose of ECO-II is to provide the BEE with necessary technical assistance (TA) and training support to implement portions of its Action Plan, through USAID's Energy Conservation and Commercialization (ECO) project. India is currently second in the world in population and second fastest in the world in their growth of greenhouse gas emissions. India was also able to hold strong against the tide of the economic crisis that plagued much of Asia in the last 1990's, early 2000's. Yet, with increasing population growth and continued economic growth also comes at an environmental price. The country's demand for electricity, the fuel for continued economic growth, is severely stressing the country's ability to generate and deliver that electricity. Frequently, daily black-outs of electricity continue to be the norm, not the exception. Misplaced subsidies and administrative difficulties in collecting tariffs have led people to the belief that electricity is a right, not a commodity.

The importance of energy conservation has been recognized in India for years, but market distortions and policy barriers continue to plague the widespread commercialization and large-scale implementation of end-use energy efficiency improvements. USAID and other donor agencies have provided substantial assistance in the past decade to help improve the management and efficiency of the power sector, but all of these efforts need to be continued given the enormous untapped potential in the area of energy efficiency.

In 2000, USAID/India initiated the Energy Conservation and Commercialization (ECO) project which is promoting the widespread commercialization of energy efficiency technologies and services in India, thereby contributing to the reduction in growth of greenhouse gas emissions. The Government of India passed the Energy Conservation Act (Act) in 2001. In so doing, it also established a statutory coordinating body under the Central Government, the Bureau of Energy Efficiency (BEE). The BEE was officially established in March 2002, and the BEE Action Plan was subsequently approved and released in August 2002. Many of the areas addressed under ECO, as well as the contributions of other donors, are helping the BEE to implement their Action Plan. Even with that kind of assistance, however, there are critical areas in the BEE's Action Plan that go unaddressed.

**USAID'S Core Values** USAID's four core values are: (1) customer focus; (2) teamwork; (3) results orientation; and (4) empowerment and accountability. Throughout the implementation of this program, the work of USAID/India and its partners will be guided by these four core values.

**Assistance Objectives** USAID/India is issuing a Request for Application (RFA) for assistance from local Indian firms/NGOs and US firms/NGOs with local offices in India to provide on-the-ground TA and training support as per the Program Description. In addition to close coordination with the BEE, the Awardee is expected to collaborate with ongoing activities of USAID (ongoing ECO activities, IEPP, WENEXA, EWI, GBC, CLASP, etc.), GTZ (IGEEP Project), ADB (Energy Efficiency Enhancement Project) and other donor programs in these support areas to determine the synergies between them and the proposed activities under the RFA.

**Relationship to USAID's Strategic Objectives** USAID/India Strategic Objective #4: Improved Access to Clean Energy and Water. The particular intermediate result that these activities address is IR#1: Improved power distribution in selected States.

**Program Details** The following three areas of the BEE Action Plan are to be addressed through this activity:

### 1. Implementation of Utility Demand Side Management (DSM) in Selected Indian State Utilities

Transmission and distribution losses are reported at over 25% (levels below 10% are considered to be the most 'efficient'). However, it is estimated that these losses are actually up to between 40-50% because a large portion of

electricity use goes unmetered, uncollected or stolen throughout India. The potential for these savings, along with end-use energy efficiency and conservation opportunities in various sectors are estimated to be about 25,000 MW. Utility Demand side management (DSM) is a concept used globally in the power industry to identify and manage electricity usage. BEE's Action Plan calls for promoting and implementing utility DSM programs and projects in agricultural, municipal, and domestic sectors. These sectors cause most utility losses and have the generally irrational tariffs resulting in little incentives for energy efficiency.

USAID/India supported the development of utility DSM through EMCAT and ECO. DSM includes both efficiency of *electrical energy services* and *optimization of load* (including peak load shaping and power factor). Both aspects must be addressed in a prioritized way to ensure that electrical capacity is matched to the demand and the delivered energy is used as efficiently as possible. Effective matching of capacity and demand ensures the maximum gain from capital investments in generation capacity. The key to implementing utility DSM under the given poor financial state of utilities in India, will not only be the policy and regulatory incentives but also an effective delivery mechanism through market intermediaries, such as Energy Service Companies (ESCOs).

A viable market-driven utility DSM implementation needs to address several primary components including: DSM cell, load research, market potential assessments, screening of measures, program design and development, program implementation through ESCOs and financial institutions, program evaluation, and monitoring. The market assessment work component involves load shape development and analysis, capacity analysis (to determine how capacity matches load including seasonal assessments), and the establishment of a DSM baseline load forecast. It also includes identification of DSM objectives and various measures (ranging from load shifting to peak shaving to strategic conservation), cost-benefit analysis of the accomplishment of the identified objectives and development of a DSM plan for achieving low-cost energy and demand savings over a specified time period. Program design and development requires market knowledge, vendor knowledge, knowledge of the performance of equipment for energy service delivery (such as electric motors), and the ability to develop and structure the various processes needed to administer successful customer programs. This includes functions such as metering and billing processes, power factor analysis, analysis of the efficiency of energy service delivery equipment, application procedures, customer financing, and tracking and monitoring of savings and costs. Program implementation involves both capacity building and actual execution of the program and assuring that it reaches its targeted audience and achieves the highest participation rate at the lowest cost. Customer and vendor contact and communications require paperwork processing, data collection and overall quality control – the applicants should demonstrate how they intend to work with the DSM cell staff to perform these important tasks. Monitoring the evaluation component measures require access whether or not the planned activities and programs achieved their objectives in terms of energy and demand savings, loss reduction, environmental impacts, and customer participation and cost level. From these data, on-going annual processes can be established for selection of desired programs to meet DSM objectives, evaluation of their results and cost-benefits, and forecasting of expected system loads and low-cost supply options.

Critical Utility DSM Program Areas in India include:

Efficient lighting	Residential
Incandescent to CFLs	Residential
Magnetic to electronic ballasts (with efficient luminaries)	Residential/Commercial
Efficient Street lighting	Government/Municipality
Efficient Building energy use	Commercial
Reactive compensation/Capacitors	Residential/Industrial/Commercial
Efficient Irrigation pump-sets	Agricultural
Efficient Municipal water pumping	Government/Municipal
Switching from electric to solar water heating	Residential/Commercial
Tariff Incentives (eg. TOU tariffs, PF incentives)	Industrial/Commercial

USAID/India is now looking to expand the utility DSM practices and models developed under its EMCAT and ECO projects at a minimum of two (2) other Indian States. The successful applicant(s) will work closely with the BEE to identify State utilities and to implement the DSM development process in those utilities. Success in this activity is dependent on a number of factors, including: commitment of top management in the utility; staffing (qualifications and

numbers); the organizational structure of the utility; reporting and rank of the officials appointed to the cell; availability and adequacy of the facilities; and other resources (including hardware and software).

The applicant(s) will need to address a conceptual issue (i.e., a cultural paradigm or bias) plaguing many Indian State utilities; that is, that demand side efficiency programs themselves are not career-advancing activities (since they attempt to reduce consumption which reduces revenues) that would provide efficiency engineers with an opportunity for upward mobility. These DSM cells need to be seen as Centers/Cells of Excellence in Efficiency, and the staff in the Cells need to be seen as in-house engineering efficiency consultants, in order for there to be a demand for their services and for the Cells to continually attract the attention of the best engineers. This paradigm shift is very important for the long-term sustainability of the Cells so that the Cells attract the best engineering staff. There are at least two ways in which this can be addressed: 1) by working with the management staff in the utilities to create incentives for engineers who participate in the Cells and help to improve efficiency, and 2) by demonstrating to the engineering staff and municipality management that specific efficiency gains can be made that result in cost savings. The applicant(s) should suggest approaches to addressing this needed paradigm shift in their response(s). It will be important for the applicant to be able to clearly demonstrate the economic benefits of the implementation of DSM activities to ensure that the identified opportunities are turned into results. The applicant should be able to draw upon the experiences and best practices of utility-sponsored and/or market-driven DSM that have been implemented successfully in other developing countries, and in India such as (but not limited to) Ahmedabad Electricity Company, Jaipur DISCOM, Tamil Nadu, Noida Power Company, and Karnataka. Regulatory incentive-based DSM models in states like (but not limited to) Delhi, Andhra Pradesh, Rajasthan and Maharashtra will also be included in the DSM assessments and implementation initiatives under this program.

Specifically, during the course of the activity, it would be important to the success of any DSM program, that the following information be addressed:

- Develop a needs assessment for the DSM cell in the BEE-selected States. The needs assessment should include such issues as:
  - Hardware (PCs, monitors, printers, etc) and software
  - Metering and auditing equipment
  - Human capacity development
  - Staffing (numbers) and qualifications
  - An analysis of the commitment of the municipality management
  - Recommended resolutions to any barriers that are expected to be encountered during implementation
  - An assessment of the commitment by industry to comply with efficiency measures
- Develop and implement a work plan approved by USAID and BEE in the BEE-selected States to develop the DSM cell. Implementation will include:
  - Assist the utility in purchase and installation of hardware/software;
  - Assist the utility in purchase of applicable metering and auditing equipment;
  - Training and technical assistance in the use of metering and auditing equipment;
  - Establishment of schedules for use of metering and auditing equipment;
  - Working with the DSM Cells to identify efficiency opportunities such as the development of dynamic report that prioritizes these opportunities;
  - Working with the DSM cell and the customers to implement the identified highest priority opportunities; and,
  - Developing a reporting format and procedure for the DSM cell for them to track and monitor progress.
- Develop recommendations to the utility management for incentives for the personnel to participate in the DSM cells as well as a list of personnel barriers that should be addressed by utility management, if any.
- Develop and implement a technical assistance and training program both for the DSM cells and the State energy regulators to understand ensure a common understanding of DSM concepts, the utility and consumer benefits, and market routes of implementation of measures.

- Develop and implement a customer feedback plan, develop a customer survey and feedback mechanism from the DSM cell staff, utility management and the BEE.
- Produce a final report that summarizes the result of the activities and shows the linkages between the activities and the results achieved. This final report should illustrate both the results and the processes used to achieve the results. This report should include lessons learned for expansion of this activity to other States in India.

**Anticipated Commodity Needs** The monitoring and reporting on both matching of the existing and planned capacity to the demand curve as well as the efficiency gains/losses are extremely important indicators of program success. They will also help to reshape the approach of the program to one that is more successful. Applicant(s) should include specific reference in their responses to this RFA in terms of approaches to measure the impact on the environment through measuring load matching and efficiency gains and losses in the system as a result of the applicant intervention.

**Metering and Auditing Equipment** Some metering equipment may also be necessary to help the utilities establish baseline information and monitor change over time.

**Hardware and Software** Applicants should anticipate the need for equipment, hardware, and software and include an assessment and cost-estimate of what might be necessary in their response to this RFA. Hardware is needed for: maintenance of a DSM measure database, baseline development and maintenance of load shapes of the utility, for each sector, or tariff class, and segments within each sector, market research, program design, development and implementation as well as program monitoring.

Software is needed to facilitate load research and analysis and load shape development, to accommodate cost-benefit analysis of DSM measures and programs and for monitoring and evaluation of the DSM activities.

### **Result for Activity 1:**

- a) Establish two self-sustaining dedicated DSM cells in two BEE-selected State utilities.
- b) Train DSM cell staff and provide technical assistance to them to help identify, operate and manage DSM programs, with emphasis on analysis of utility and consumer benefits, and facilitating market route of implementation (shared savings, guaranteed savings, participatory models, savings securitization, etc.) through market intermediaries such as ESCOs, rural coops, community level organizations, financial institutions, etc.
- c) Assist DSM cell staff develop projects for implementation under performance contracting arrangement (through ESCOs and other market intermediaries) for each of the critical DSM program areas mentioned above in this Section A.
- d) Assist DSM cell staff design six utility DSM projects to be implemented through market mechanisms (for example ESCOs) in the two state utilities. At the minimum, these projects would cover various critical sectors (municipalities, residential and agricultural), and different measures/objectives (load shifting, peak shaving, and strategic conservation).
- e) Prepare a list of workable recommendations for the utilities on how to attract and keep quality personnel in the DSM cells.
- f) Develop policy recommendations for tariff-driven utility DSM options for regulators, based on analysis of the experience of regulatory-incentive based DSM in other countries and in Indian states such as Rajasthan, Delhi, Maharashtra, etc.
- g) Provide associated domestic and international training activities for all the above, as appropriate.

## **2. Development and Dissemination of a DSM Best Practices Guide**

The development of this DSM best practices guide will include all aspects of DSM activities implemented in several developed countries, developing countries of Asia, and in India. The Guide should address market-based (involving ESCOs, other delivery/market intermediaries and financial institutions) and policy-based (involving regulatory and tariff incentives) mechanisms for implementing DSM programs and projects. The best practices and experiences in these two categories and in areas of DSM project structuring, financial incentive designs, roles of the regulators, roles of utilities,

etc., should be included in this Guide. These guidelines should be a dynamic document that the BEE could continually update, as needed, and share with Indian electric utilities. The emphasis of this guide should be on DSM implementation under the given constraints and opportunities in the Indian power sector. The specific formatting, technical content and development of the guide will be done in close cooperation with the BEE. The successful applicant(s) should also design this guide in a format that can be directly published on the BEE web site. It is anticipated that there will be a need for travel to locations inside of India for information collection and dissemination.

### **Result for Activity 2:**

Produce a DSM Best Practices Guide (supplied in electronic format in both Microsoft Word format and PDF format) that is a compilation, at a minimum, of: Successful market-driven and policy-based utility DSM case studies implemented around the world, including in India; mechanisms for DSM project structuring, and financial incentive designs; detailed description of the roles of utilities in designing and implementing DSM programs; and description of the possible roles of the regulators in promoting DSM. The DSM Best Practices Guide should be tailored to the potential, needs, constraints and opportunities of the Indian power sector. Further, DSM case studies will cover different sectors (municipalities, domestic, agricultural, etc.) and various types of measures (load shifting, peak shaving, and strategic conservation).

### **3. Energy Efficiency Building Codes for Six Climatic Regions**

Electricity consumption in buildings is approximately 25% of the total consumption in India. According to a recent study, it is a well known fact that during peak summer and winter periods, the gap between demand and supply of power increases due to heavy demands of cooling or heating energy. In modern Indian buildings, which are air-conditioned, the specific energy consumption is reportedly rather high – though exact measures are not commonly available. Drastic reductions in consumption are said to be needed and are possible only through a series of measure in the building design, including building envelope, selection of building materials and building components and also through the choice of the system apart from methods like controls and users' aspects.

Energy gains/losses take place through windows, walls, roof and floor and in addition ventilation losses contribute to the energy consumption for heating/cooling especially in an air-conditioned building. Air conditioning equipment can have dramatically different operating efficiencies and the less expensive equipment is found to be generally less energy efficient. There is a need for documenting the life cycle costs so those investing in equipment can better compare the initial capital costs with life cycle costs to make good investment decisions. There are generally six climatic zones throughout India where specific energy efficiency building codes and equipment efficiencies will need to be addressed. Those zones include: cold/sunny, cold/cloudy, hot/dry, warm/humid, moderate, and composite.

Given the end-use potential in the buildings sector, energy efficient building codes form an important component of BEE's Action Plan. It is expected that the successful applicant(s) will obtain energy efficient building codes from a number of organizations representing the six climatic regions/zones found in India. The successful applicant(s) will work with the BEE to coordinate/facilitate meetings with housing developers, housing authorities, housing finance companies, architects, and other specialists involved in housing planning and development, to develop building codes for the 6 climatic regions/zones in India.

The Bureau of Indian Standards (BIS) is the Government of India organization with the mandate for developing safety codes and standards. However, they do not have the technical staff to evaluate and create energy efficiency building codes. Information sharing with the BIS, in the form of a workshop or seminar, should be planned as part of the information dissemination plans of the successful applicant(s).

In coordination with the BEE, the successful applicant will need to identify and engage stakeholders throughout the process in order to create a sustainable environment for the codes. The key stakeholders in the energy efficiency arena, with interest in efficient building codes, include: building industry professionals, manufacturers, associations and user groups, government and NGOs, and financial institutions.

The following minimum energy efficiency building codes should be addressed:



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- Electrical Power Distribution (installation and wiring)
- Electrical equipment (including Lighting and HVAC)
- Service Water Heating and Plumbing infrastructure
- Efficient electric motors
- Building Envelope (construction techniques and materials including walls and roofs, Fenestration)
- Methods for calculating building energy consumption (such as the ASHRAE methods)

Along with the energy efficient building codes, the successful applicant(s) should also develop documentation of the savings in energy attributable to the implementation of the improved energy codes and the methods used to calculate savings. The applicant will further develop a building electrical equipment/appliance rating system (particularly for important components like windows, air-conditioning, heating, etc.). The applicant will also study the applicability and propose the mechanism for developing a building rating system which may help operationalize the system of building codes through market principles.

We expect that the approach toward implementation of this activity will include the successful applicant coordinating closely with and supporting the institutional mechanism in the area of developing building codes currently being developed by the BEE. Working through this BEE-established framework, the successful applicant will coordinate in facilitating meetings with leading Indian experts in the area of energy efficiency to gather information and solicit their advice on the creation of the energy efficient building codes. Such experts in India would come from such organizations as the Indian Institute of Technology's Centre for Energy Studies, the Confederation of Indian Industries (CII), the Green Business Center (set up by CII with assistance from USAID), the Tata Energy Research Institute, the National Productivity Council, HUDCO, as well as representatives from architecture firms, housing authorities, housing finance groups, among many other organizations. Applicants should not feel limited to discussing energy efficient building codes with these organizations only. However, the respondents should include an illustrative list of those organizations that it would hope to include in such an advisory council in their applications.

Once the energy efficiency building codes are developed, it will be imperative that they are shared widely with all organizations involved in the construction or reconstruction (rehabilitation) of buildings in India, as well as with the Bureau of Indian Standards and the Green Business Center. Different market stakeholders have to be brought together and trained to ensure effective compliance of the codes. Relevant and practical building energy simulation/analysis software (available in or applicable to India) should be made use of with Indian data, as an operational tool for integrating the key players and practitioners in the Indian buildings market and to encourage the enhanced use of the codes among them.

#### **Result for Activity 3:**

- a) Prepare a set of the master energy efficient building codes that can be applied immediately, along with the variations of those codes for application to the six climatic regions in India in the building or reconstruction/rehabilitation of buildings in India. These codes will also include practical, market-friendly methods for calculating energy consumption in buildings, including those necessitated through development and use of relevant building energy simulation/analysis tools and software.
- b) Develop a list of recommendations for incentives or recognition to be given to those who participate in using the energy efficiency codes.
- c) Develop a building electrical equipment/appliance rating system (particularly for important components like fenestration, air-conditioning, heating, etc.).
- d) Prepare an analysis on the applicability and framework of a mechanism for developing a building rating system in India, which may help operationalize the system of building codes through market principles.
- e) Provide associated domestic and international training activities for all the above, including identification of and training stakeholders on the use of relevant building energy simulation/analysis tools/software, as appropriate.

**Teamwork** Through this activity, the Agency is interested in making market-based utility DSM implementation in critical areas and energy efficiency codes implementation as effective as possible.

It is anticipated that any one Indian or US (with offices in India) firm/NGO may be unable to address all of the activities listed in this Program Statement. The support under this activity is much more likely to succeed with significant involvement of several partners specialized and experienced in different areas of this Program Statement.

The successful applicant will be working very closely with USAID's ECO project partners, primarily the BEE, in implementing the TA and training objectives of this RFA, and in ensuring BEE's involvement and coordination in all steps of the implementation process, drafting of terms of reference of contract/activities and implementing them to their satisfaction. For effective coordination purposes, the Awardee's project office (and Project Team Leader and/or Task Leaders) may be located (through mutually-accepted agreements and arrangements to be made directly between the Awardee and the BEE) within the new BEE office premises.

**Gender Considerations** The activities planned for under this RFA are gender neutral in the sense that the activities address the development of codes and guidelines, developing DSM cells within utilities, and disseminating information. To every extent possible, the successful applicant(s) will identify areas where persons may be impacted, negatively or positively based on gender, and report on those factors in their quarterly reports to USAID. The Applicant(s), however, should seek opportunities to include engineers and managers of both genders in the development of the activities, wherever appropriate.

**Environmental Considerations** It is expected that there will be a positive impact on the environment from the successful conclusion of these activities. Reductions in energy losses will ultimately result in less energy generation needed for the same demand, which in turn results in fewer greenhouse gases and associated emissions of local pollutants.

**Financial Reporting** The Awardee shall submit quarterly financial reports to USAID/India that shall provide the necessary information on budgeted and actual expenditures for the quarter in order to allow the Mission to track financial performance of the program.

**Quarterly Reports** The Awardee shall submit to USAID/India quarterly reports on the progress of the activities as per the work plan that will be discussed post-award. At a minimum, the quarterly reports shall include:

- Accomplishments for the quarter – reported in terms of
  - energy savings, cost savings, meetings/workshops held and significant results, achieved for the DSM cell activity
  - number and type of energy efficiency building codes developed or meetings/workshops held, including participants who attended, to learn about the efficiency codes, etc, for the Energy Efficiency Building Code activity;
  - Activities in progress;
  - Barriers encountered;
  - Resolutions proposed to address barriers;
  - Recommendations for USAID involvement, if necessary;
  - Next steps for the proceeding quarter;
  - Success stories, one paragraph each, on a significant development or technical achievement for the quarter (e.g., development of personnel incentive program for participating in the DSM cell, identification by DSM cell staff of significant efficiency problems/solutions, increased number of women participating in DSM cell technical activities, estimated reduction in emissions as a result of efficiency savings, estimate of cost savings as a result of specific efficiency activities performed by the Cells, energy efficiency building codes that were used by industry and how, among other examples).

**Final Report** The Awardee shall produce a final report that summarizes the result of the activities and shows the linkages between the activities and the results achieved. This final report should illustrate both the results and the processes used to achieve the results.

**USAID Involvement** USAID foresees the need for substantial involvement throughout the implementation of this activity through close coordination with the successful applicant throughout the duration of the activity. In particular, this includes:

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- Annual approval (by USAID team and the USAID Agreement/Technical Officer) of work plans;
- Approval of key personnel for technical assistance and training activities;
- Collaboration in all significant approach decisions as appropriate.
- Coordination through regular informal and formal briefings by the project team leader and task leaders, through regular entry and exit briefings of visiting personnel, and through reporting of progress and results in ECO Project Advisory Committee meetings held twice a year.
- Site visits and/or meetings/seminars as appropriate.
- All communication products are subject to approval by USAID/India

## SECTION D

### U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

#### CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT [1][2]

##### PART I - CERTIFICATIONS AND ASSURANCES

###### 1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

###### 2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

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- (1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For recipients other than individuals, Alternate I applies.
- (4) For recipients who are individuals, Alternate II applies.
- (b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

- (1) The recipient certifies that it will provide a drug-free workplace by:
  - (A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
  - (B) Establishing a drug-free awareness program to inform employees about--
    1. The dangers of drug abuse in the workplace;
    2. The recipient's policy of maintaining a drug-free workplace;
    3. Any available drug counseling, rehabilitation, and employee assistance programs; and
    4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
  - (C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);
  - (D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--
    1. Abide by the terms of the statement; and
    2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
  - (E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1, from an employee or otherwise receiving actual notice of such conviction;
  - (F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--
    1. Taking appropriate personnel action against such an employee, up to and including termination; or
    2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

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(G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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Alternate II

The recipient certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

**3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]**

**(a) Instructions for Certification**

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period proceeding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

5. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this [Agreement/Contract], to demand a refund or take other appropriate measures if the [Grantee/ Contractor] is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certification are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to, or take or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

The recipient has reviewed and is familiar with the proposed grant format and the applicable regulations, and takes exception to the following (use a continuation page as necessary):

Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_



Date of Application/Proposal \_\_\_\_\_

Name of Recipient \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

\_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

[1] FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

## PART II - OTHER STATEMENTS OF RECIPIENT

### 1. AUTHORIZED INDIVIDUALS

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.
<hr/>			
<hr/>			
<hr/>			

### 2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: \_\_\_\_\_

### 3. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at [globalinfo@dbisma.com](mailto:globalinfo@dbisma.com).

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: \_\_\_\_\_

## 4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: \_\_\_\_\_

## 5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$\_\_\_\_\_

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST
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(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION PROBABLE (Generic) ORIGIN	QUANTITY	ESTIMATED UNIT COST	GOODS COMPO NENTS	PROBABLE SOURCE	GOODS COMPONENTS
---	----------	------------------------	----------------------	--------------------	---------------------

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SOURCE	PROBABLE ORIGIN	INTENDED USE
-------------------------------	----------	------------------------	--------------------	--------------------	--------------

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION RATIONALE (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SUPPLIER (Non -US Only)	NATIONALITY for NON-US
--	----------	------------------------	-------------------------------------	------------------------------

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED DISPOSITION
---------------------------	----------	---------------------	----------------------

## 6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide a list of the ten most current U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Contract/Agreement Officer or other contact person.

## 7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

**386-03-010**

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of \_\_\_\_\_ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

**8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS**

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND  
VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS**

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549.  
1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

**386-03-010**

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Applicant/Subgrantee \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

\_\_\_\_\_

Signature \_\_\_\_\_

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

**KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES  
AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

**NOTICE:**

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.



## PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:

- a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
- b. I am not and have not been an illicit trafficker in any such drug or controlled substance.
- c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

### NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

<b>APPLICATION FOR FEDERAL ASSISTANCE</b>		2. DATE SUBMITTED	APPLICANT IDENTIFIER
1. TYPE OF SUBMISSION		3. DATE RECEIVED BY STATE	STATE APPLICATION IDENTIFIER
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;">           Application  <input type="checkbox"/> Construction  <input type="checkbox"/> Non-Construction         </div> <div style="width: 45%;">           Preapplication  <input type="checkbox"/> Construction  <input type="checkbox"/> Non-Construction         </div> </div>		4. DATE RECEIVED BY FEDERAL AGENCY	FEDERAL IDENTIFIER
5. APPLICANT INFORMATION			
Legal Name		Organizational Unit	
Address (Street, County, State and ZIP code)		Name and telephone number of person to be contacted on matters involving this application (give area code)	
6. EMPLOYER IDENTIFICATION NUMBER (EIN) <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div>		7. TYPE OF APPLICANT (enter appropriate letter in box)	
8. TYPE OF APPLICATION		<input type="checkbox"/> A. State <input type="checkbox"/> B. County <input type="checkbox"/> C. Municipal <input type="checkbox"/> D. Township <input type="checkbox"/> E. Interstate <input type="checkbox"/> F. Intermunicipal <input type="checkbox"/> G. Special District <input type="checkbox"/> H. Independent School Dist. <input type="checkbox"/> I. State Controlled Institution of Higher Learning <input type="checkbox"/> J. Private University <input type="checkbox"/> K. Indian Tribe <input type="checkbox"/> L. Individual <input type="checkbox"/> M. Profit Organization <input type="checkbox"/> N. Other (Specify) _____	
<input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <span style="border: 1px solid black; display: inline-block; width: 30px; height: 20px; vertical-align: middle;"></span>			
<input type="checkbox"/> A. Increase Award <input type="checkbox"/> C. Increase Duration <input type="checkbox"/> E. Other (specify) _____		<input type="checkbox"/> B. Decrease Award <input type="checkbox"/> D. Decrease Duration	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER		9. NAME OF FEDERAL AGENCY	
11. DESCRIPTIVE TITLE OF APPLICANTS PROJECT			
12. AREAS AFFECTED BY PROJECT (Cities, Counties, Street, etc.)			
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF	
Start Date	Ending Date	Applicant	Project
15. ESTIMATED FUNDING		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal		a. YES. THIS PREAPPLICATION-APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____  b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
b. Applicant			
c. State			
d. Local			
e. Other			
f. Program Income			
g. Total		17. IS THE APPLICATION DELINQUENT ON ANY FEDERAL DEBT?	
		<input type="checkbox"/> Yes If 'Yes', attach an explanation. <input type="checkbox"/> No	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Type Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed	

## INSTRUCTION FOR THE SF424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain application certification that States which have included in their process, have been given an opportunity to review the applicant's submission.

- | Item:  | Entry: | Item:   | Entry: |
|--|--------|---|--------|
| 1. Self-explanatory.   |        | 12. List only the largest political entities affected (e.g., State, counties, cities).  |        |
| 2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).   |        | 13. Self-explanatory.   |        |
| 3. State use only (if applicable)  |        | 14. List the applicant's Congressional District and any District(s) affected by the program or project.   |        |
| 4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.   |        | 15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |        |
| 5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.  |        | 16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.   |        |
| 6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.   |        | 17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.   |        |
| 7. Enter the appropriate letter in the space provided.   |        | 18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)   |        |
| 8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:<br><br>-- 'New' means a new assistance award.<br><br>-- 'Continuation' means an extension for an additional funding/budget period for a project with a projected completion date.<br><br>-- 'Revision' means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. |        |   |        |
| 9. Name of Federal agency from which assistance is being requested with this application.  |        |   |        |
| 10. Use the Catalog of Federal Domestic Assistance Number and title of the program under which assistance is requested.  |        |   |        |
| 11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.  |        |   |        |

## BUDGET INFORMATION - Non-Construction Programs

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assist- ance Number (b)	Estimated Unobligated Funds		New or Revised Budget	
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)
1.	-				
2.	-				
3.	-				
4.	-				
5. Totals					
6. Object Class Categories		Grant Program Function or Activity			
		(1)	(2)	(3)	(4)
a. Personnel					
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (Sum of 6a-6h)					
j. Indirect Charges					
k. TOTALS (Sum of 6i and 6j)					
7. Program Income					

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## BUDGET INFORMATION - Non-Construction Programs (cont'd)

(a) Grant Program		(b) Applicant	(c) State	(d) Other Source
8.				
9.				
10.				
11.				
12. TOTAL (Sum of lines 8-11)				
		Total Amt 1st Year	1st Quarter	2nd Quarter
13. Federal				
14. Non-Federal				
15. TOTAL (Sum of lines 13 and 14)				
(a) Grant Program		FUTURE FUNDING PERIODS (Years)		
		(b) First	(c) Second	(d) Third
16.				
17.				
18.				
19.				
20. TOTAL (Sum of lines 16-19)				
21. Direct Charges:		22. Indirect Charges:		
23. Remarks:				

## INSTRUCTION FOR THE SF424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

## General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a - k of Section B.

## Section A, Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a single Federal grant program (Federal activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should always provide the summary totals by programs.

## Lines 1-4 Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in Columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (c) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (c) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (c) and (f).

Line 5 - Show the totals for all columns used

## Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4. Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a - i Show the totals of Lines 6a to 6h in each column.

Line 6j Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount

in Column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Column (1) - (4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

## Section C. Non-Federal Resources

Lines 8-11 Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources

Column (e) Enter total of columns (b), (c) and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (c) should be equal to the amount on Line 5, Column (f), Section A.

## Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

## Section E. Budget Estimates of Federal Funds Needed for Balance of the Project.

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary

Line 20 - Enter the total for each of the Columns (b)-(e). When schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

## Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Page 30 23 - Provide any other explanations or comments deemed necessary.

**ASSURANCES - NON-CONSTRUCTION PROGRAMS**

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 14728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited by (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 1794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 16101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention. Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 1523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 cc-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 13601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other non-discrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. 15501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 1276a to 276z - 276a-7), the Copeland Act (40 U.S.C. 1276c and 18 U.S.C. 1374), and the Contract Work Hours and Safety Standards Act (40 U.S.C. 1327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

**ASSURANCES - NON-CONSTRUCTION PROGRAMS (cont'd)**

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (E.O.) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. ~~1451~~ et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. ~~17401~~ et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. ~~14271~~ et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. ~~14801~~ et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will ensure to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions or Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED